

FORM PTO-1390 (Modified)  
(REV. 07-2004)

U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

112857-534

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

Unknown 10/512131

INTERNATIONAL APPLICATION NO.

PCT/JP04/001952

INTERNATIONAL FILING DATE

February 19, 2004

PRIORITY DATE CLAIMED

March 20, 2003

TITLE OF INVENTION

**SEMICONDUCTOR LIGHT EMITTING ELEMENT, MANUFACTURING METHOD THEREOF, INTEGRATED  
SEMICONDUCTOR LIGHT EMITTING DEVICE, MANUFACTURING METHOD THEREOF, IMAGE ...**

APPLICANT(S) FOR DO/EO/US

Okuyama et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

**Items 13 to 23 below concern document(s) or information included:**

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV 511579955 US
23. ☒ Other items or information:

**Return receipt postcard;****Copy of First Page of International App. as filed.**

U.S. APPLICATION NO. (if known, see 37 CFR 1.531) <b>Unknown 512131</b>		INTERNATIONAL APPLICATION NO. <b>PCT/JP04/001952</b>		ATTORNEY'S DOCKET NUMBER <b>112857-534</b>	
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24. The following fees are submitted:

<b>BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)) :</b>			<b>CALCULATIONS PTO USE ONLY</b>		
<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO . . . . .		<b>\$1110.00</b>			
<input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO . . . . .		<b>\$950.00</b>			
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO . . . . .		<b>\$790.00</b>			
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) . . . . .		<b>\$750.00</b>			
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) . . . . .		<b>\$100.00</b>			
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>			<b>\$930.00</b>		
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).			<b>\$0.00</b>		
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	45 - 20 =	25	x \$18.00	<b>\$450.00</b>	
Independent claims	16 - 3 =	13	x \$88.00	<b>\$1,144.00</b>	
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$2,524.00</b>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				<b>\$0.00</b>	
<b>SUBTOTAL =</b>				<b>\$2,524.00</b>	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				<b>\$0.00</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$2,524.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$2,524.00</b>	
				<b>Amount to be: refunded</b>	<b>\$</b>
				<b>charged</b>	<b>\$</b>

a. ☒ A check in the amount of **\$2,524.00** to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.


c. ☒ The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **02-1818**

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

**Thomas C. Basso**  
**BELL, BOYD & LLOYD LLC**  
P.O. Box 1135  
Chicago, IL 60690-1135

  
\_\_\_\_\_  
SIGNATURE  
  
**Thomas C. Basso**  
\_\_\_\_\_  
NAME  
  
**46,541**  
\_\_\_\_\_  
REGISTRATION NUMBER  
  
**October 21, 2004**  
\_\_\_\_\_  
DATE

10/512131  
DTOT Rec'd PCT/PTC 21 OCT 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Okuyama et al.  
Intl. Appl. No.: PCT/JP04/001952  
Intl. Filing Date: February 19, 2004  
Title: SEMICONDUCTOR LIGHT EMITTING ELEMENT, MANUFACTURING  
METHOD THEREOF, INTEGRATED SEMICONDUCTOR LIGHT  
EMITTING DEVICE, MANUFACTURING METHOD THEREOF, IMAGE  
DISPLAY DEVICE, MANUFACTURING METHOD THEREOF,  
ILLUMINATING DEVICE AND MANUFACTURING METHOD THEREOF  
Docket No.: 112857-534

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**CERTIFICATE OF MAILING BY EXPRESS MAIL UNDER 37 CFR 1.10**

Sir:

I hereby certify that the following documents relating to the above-identified application:

- |   |   |
|---|---|
| 1. Transmittal Letter (dup.);             | 6. IDS (2 pgs.); PTO Form 1449; Ref. as   |
| 2. Int'l App. as filed (first page only); | cited;                                    |
| 3. English Trans. of Int'l App. as filed  | 7. Preliminary Amendment (94 pgs.);       |
| (99 pgs.); including Formal Drawings;     | 8. Check in the amount of \$2,524.00; and |
| 4. Executed Declaration and POA (4 pgs.); | 9. Return receipt postcard.               |
| 5. Int'l Search Report (4 pgs.);          |   |

are being deposited with the United States Postal Service with sufficient postage as

Express Mail in an envelope addressed to:

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

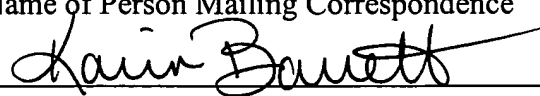
on October 21, 2004.

Respectfully submitted,

BELL, BOYD & LLOYD LLC

Karin Barrett

Name of Person Mailing Correspondence

  
Signature

EV 511579955US

Express Mail Mailing Label Number